## Safety Attribute Inspection (SAI) Data Collection Tool
## 1.2.1 Airworthiness Release / Maintenance Log Recording Requirements (AW)
### Revision#: 8 Revision Date: 06/23/2014

## ELEMENT SUMMARY INFORMATION

**Scope of Element:**

**Purpose** (operator's responsibility): To establish policy, procedures, instructions, and information necessary for personnel to accomplish an Airworthiness Release / Maintenance Log Recording Requirements.

**Objective** (FAA oversight responsibility): To determine if the operator's Airworthiness Release / Maintenance Log Recording Requirements process:

- Meets all applicable requirements of Title 14 of the Code of Federal Regulations (14 CFR) and FAA policies,
- Incorporates the safety attributes,
- Identifies any shortfalls in the operator's Airworthiness Release / Maintenance Log Recording Requirements.

**Specific Instructions**:

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## SUPPLEMENTAL INFORMATION

**Regulatory Requirements:**

121.135, Manual contents
121.367, Maintenance, preventive maintenance, and alterations programs.
121.369, Manual requirements.
121.371, Required inspection personnel.
121.373, Continuing analysis and surveillance.
121.375, Maintenance and preventive maintenance training program.
121.563, Reporting mechanical irregularities.
121.701, Maintenance log: Aircraft.
121.709, Airworthiness release or aircraft log entry.

**Related CFRs & FAA Policy/Guidance**:

**Related CFRs:**

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**FAA Policy/Guidance:**

FAA Order 8900.1, Volume 3, Chapter 31, Section 5
FAA Order 8900.1, Volume 6, Chapter 2, Section 36
AC 120-16, Air Carrier Maintenance Programs

| SAI SECTION 1 - PROCEDURES ATTRIBUTE |
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**Objective:**

The questions in this section of the SAI will help verify that the operator's documented procedures identify who, what, when, where, and how those procedures are accomplished.  These procedures must allow all personnel to perform their duties and responsibilities with a high degree of safety.

14 CFR part 121.135(a)(1)

| *Tasks* | |
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| | The inspector shall accomplish the following tasks: |
| 1 | Review the information in the Supplemental Information section of this SAI. |
| 2 | Review the duties and responsibilities for management and other personnel who accomplish the processes associated with this element. |
| 3 | Review the documentation of the processes associated with this element. |
| 4 | Review documented interfaces to identify interactions between related processes, interactions within this element process, and between one person, workgroup, or organization to another that the operator uses to accomplish this process. |

| *Questions* | | |
|---|---|---|
| 1.1 | Do procedures require an airworthiness release or appropriate aircraft log book entry after maintenance, preventive maintenance, or alterations are performed on the aircraft?<br><br>Updated: Rev # 5 on 06/01/2011<br>SRRs: 121.701(a); 121.709(a)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 1.2 | Do procedures specify that an airworthiness release or a maintenance logbook entry shall contain the following regulatory certifications:<br><br>• The work was performed in accordance with the requirements of the certificate holder's manual;<br>• All items required to be inspected were inspected by an authorized person who determined that the work was satisfactorily completed;<br>• No known condition exists that would make the airplane unairworthy; and<br>• As far as the work performed is concerned, the aircraft is in condition for safe operation?<br><br>**Note(s):**<br>*If an operator chooses not to restate each of the conditions of the certification required by 14 CFR 121.709(b), the procedures must state that the signature of an authorized, certificated mechanic or repairman constitutes that certification.*<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.367(a); 121.367(c); 121.709(b)(2); 121.709(e)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 1.3 | Do procedures require maintenance personnel to record: | ☐ Yes |

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| | | • A description of the work performed or reference to data acceptable to the Administrator; <br> • The name of the person performing the work if the work is performed by a person outside the operator's organization; and <br> • The name or other positive identification of the individual approving the work? <br><br> Updated: Rev # 5 on 06/01/2011 <br> SRRs: 121.369(c) <br> Kind Of Question: Flag, Supplemental, Domestic | ☐ No, Explain |
| 1.4 | | Do procedures for preparing an airworthiness release and aircraft maintenance logbook entry ensure that: <br><br> • Each airworthiness release or aircraft log entry is signed by an authorized and certificated mechanic or repairman; and <br> • Certificated repairman may only sign for the work they are employed to perform? <br><br> **Note(s):** <br> *For operators who elect to prepare an airworthiness release form, procedures must also ensure:* <br><br> • *A copy of the airworthiness release form is provided to the pilot in command; and* <br> • *The airworthiness release form is retained for at least two months.* <br><br> Updated: Rev # 8 on 06/23/2014 <br> SRRs: 121.709(b)(3); 121.709(d) <br> Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes <br> ☐ No, Explain |
| 1.5 | | Do procedures specify that for maintenance, preventive maintenance, or alterations performed by a repair station outside the United States, the airworthiness release or maintenance logbook entries required by part 121.709(a), may be signed by an individual authorized by that repair station? <br><br> Updated: Rev # 4 on 06/01/2010 <br> SRRs: 121.709(c) <br> Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes <br> ☐ No, Explain <br> ☐ Not Applicable |
| 1.6 | | Do procedures provide for an adequate number of copies of the aircraft maintenance logbooks in the aircraft readily accessible to each flight crewmember? <br><br> Updated: Rev # 3 on 12/03/2009 <br> SRRs: 121.701(b) <br> Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes <br> ☐ No, Explain |
| 1.7 | | Do procedures provide for the preservation and retrieval of airworthiness release/aircraft maintenance logbook information that provides the following information: | ☐ Yes <br> ☐ No, Explain |

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|  | • A description of the work performed or reference to this data acceptable to the Administrator;<br>• The name of the person performing the work if the work is performed by a person outside the operator's organization; and<br>• The name or other positive identification of the individual approving the work?<br><br>**Note(s):**<br>*This system may be in coded or electronic form.*<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.369(c)<br>Kind Of Question: Flag, Supplemental, Domestic |  |  |
| 1.8 | Do procedures require each person who signs an airworthiness release or aircraft log entry be certificated, trained, qualified, and authorized?<br><br>**Note(s):**<br>*Procedures should ensure that each person (including inspection personnel) who determines the adequacy of work done is fully informed about procedures, techniques, and new equipment.*<br><br>Updated: Rev # 5 on 06/01/2011<br>SRRs: 121.371; 121.375; 121.709(b)(3)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |  |
| 1.9 | Do procedures specify that reported or observed safety critical failures or malfunctions of an airframe, engine, propeller (if applicable), or appliance shall be recorded in the airplane's maintenance log?<br><br>Updated: Rev # 5 on 06/01/2011<br>SRRs: 121.701(a)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |  |
| 1.10 | Do procedures specify that the pilot in command (PIC) will make an entry in the aircraft maintenance log of all mechanical irregularities that occur during flight?<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.563<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |  |
| 1.11 | Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 31, and Section 5?<br><br>Updated: Rev # 4 on 06/01/2010<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |  |
| 1.12 | Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 6, Chapter 2, Section 36?<br><br>Updated: Rev # 4 on 06/01/2010<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |  |
| 1.13 | Do procedures address the intent of the guidance contained in AC 120-16? | ☐ Yes<br>☐ No, Explain<br>☐ Not Applicable |  |

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| | Updated: Rev # 5 on 06/01/2011<br>Kind Of Question: Flag, Supplemental, Domestic | |
| 1.14 | Does the manual contain policies and procedures that include the duties and responsibilities for personnel involved with this element?<br><br>**Note(s):**<br>*This includes personnel, in addition to those required by 14 CFR part 119, who have authority and responsibility for processes covered by this element.*<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.135(b)(2)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 1.15 | Does the manual refer to the appropriate sections of 14 CFR, and are the procedures consistent with the appropriate 14 CFR references or Operating Certificate concerning this element?<br><br>**Note(s):**<br>*Procedures for Flag and Supplemental operations must be consistent with applicable foreign regulations as well.*<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.135(a)(4); 121.135(b)(3)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 1.16 | Does the manual contain general policies that require compliance with the SRRs?<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.135(b)(1)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 1.17 | Are the procedures written in enough detail to ensure the effective coordination of work activities from one person, workgroup, or organization to another to ensure the desired result?<br><br>Updated: Rev # 7 on 09/30/2013<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |

| SAI SECTION 1 - PROCEDURES ATTRIBUTE |
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| **Drop-Down Menu** |

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| 1. | No policy, procedures, instructions, or information specified. |
| 2. | Procedures or instructions and information do not identify who, what, when, where, how. |
| 3. | Policy, procedures, or instructions and information do not comply with CFR. |
| 4. | Policy, procedures, or instructions and information do not comply with FAA policy and guidance. |
| 5. | Policy, procedures, or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen Charts, etc.). |
| 6. | Policy, procedures, or instructions and information unclear or incomplete. |
| 7. | Documentation quality (e.g., unreadable or illegible). |
| 8. | Policy, procedures, or instructions and information inconsistent across certificate holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.). |
| 9. | Policy, procedures, or instructions and information inconsistent across media (e.g., paper, microfiche, electronic). |
| 10. | Resource requirements incomplete (personnel, facilities, equipment, technical data). |
| 11. | Other. |

| SAI SECTION 2 - CONTROLS ATTRIBUTE |
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**Objective:**

The questions in this section of the SAI will help determine if controls (i.e. checks and restraints) are designed into the processes associated with this element to ensure policies and procedures are followed to achieve desired results.

| *Tasks* |
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| | The inspector shall accomplish the following task: |
| 1 | Review the policies, procedures, instructions, and information to understand the controls associated with this element. |

| *Questions* | | |
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| 2.1 | Are controls in place that ensure the operator and its maintenance providers prepare an airworthiness release or maintenance logbook entries per the operator's design?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 2.2 | Are controls in place that ensure the operator maintains a record of the airworthiness release or maintenance logbook entries?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 2.3 | Are controls in place that ensure airworthiness release or maintenance logbook entries are signed by a certificated person?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 2.4 | Are controls in place that ensure the operator provides the pilot in command a copy of the airworthiness release form prior to aircraft operation?<br><br>**Note(s):**<br>*The airworthiness release form must be retained for at least two months.*<br><br>Updated: Rev # 8 on 06/23/2014<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain<br>☐ Not Applicable |
| 2.5 | Are controls in place that ensure that airworthiness release or maintenance logbook entries for maintenance, preventive maintenance, or alterations performed by a repair station located outside the United States, are signed by an individual authorized by that repair station?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 2.6 | Are controls in place that ensure airworthiness release or maintenance logbook entries are provided to the flight crew?<br><br>Updated: Rev # 3 on 12/03/2009 | ☐ Yes<br>☐ No, Explain |

| | Kind Of Question: Flag, Supplemental, Domestic | |
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| 2.7 | Are controls in place that ensure copies of the aircraft maintenance logbook are readily accessible to each flight crewmember?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 2.8 | Are controls in place that ensure each observed and reported failure or malfunction is documented?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |

| SAI SECTION 2 - CONTROLS ATTRIBUTE | |
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| **Drop-Down Menu** | |
| 1. | No controls specified. |
| 2. | Documentation for the controls do not identify who, what, when, where, how. |
| 3. | Controls incomplete. |
| 4. | Controls could be circumvented. |
| 5. | Controls could be unenforceable. |
| 6. | Resource requirements incomplete (personnel, facilities, equipment, technical data). |
| 7. | Other. |

| SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE |
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**Objective:**

Process measurements ensure the operator uses an internal evaluation function to detect, identify, and eliminate or control hazards and the associated risk. For airworthiness elements this is a required function of operator's Continuing Analysis and Surveillance System (CASS), required by 14 CFR part 121.373. The director of safety and the quality assurance department often work together to accomplish this function for the operator. Negative findings could require amendments to the safety/internal evaluation program or CASS audit forms or checklists.

| *Tasks* | |
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| | The inspector shall accomplish the following tasks: |
| 1 | Review the control questions in Section 2 of this SAI. |
| 2 | Review the operator's policies, procedures, instructions, and information to gain an understanding of the process measurements accomplished for this element. |

| *Questions* | | |
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| 3.1 | Are there process measurements that evaluate whether the operator's policies, procedures, and controls are achieving the desired results?<br><br>**Note(s):**<br>*Inspectors should refer to the controls in Section 2 of this SAI for possible process measurements for this element.*<br>*Persons engaged in this process should have a method for identifying undesired results.*<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.373<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 3.2 | Do the operator's process measurements assess the performance of the processes associated with this element?<br><br>**Note(s):**<br>*Verify audits exist to measure this element's performance.*<br>*Verify audits are scheduled for this element.*<br>*Verify audits ensure everyone, including all outsource providers; comply with the operator's program, manual and all applicable regulations and statutes.*<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.373<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 3.3 | Does the operator's program require the documentation of process measurement results?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 3.4 | Does the operator's program describe how the process measurement results are used to improve the ability to achieve the desired results? | ☐ Yes<br>☐ No, Explain |

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| | Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | |
| 3.5 | Does the organization that conducts the process measurements have direct access to the person with responsibility for this element?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |

| SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE |
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| **Drop-Down Menu** |
| 1.    No process measurements specified. |
| 2.    Documentation for the process measurements does not identify (who, what, when, where, how). |
| 3.    Inability to identify negative findings. |
| 4.    No provisions for implementing corrective actions. |
| 5.    Ineffective follow-up to determine effectiveness of corrective actions. |
| 6.    Resources requirements (personnel, facilities, equipment, technical data). |
| 7.    Other. |

| SAI SECTION 4 - INTERFACES ATTRIBUTE |
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**Objective:**

Data collected in this section helps the principal inspector determine if the operator identifies, documents and manages change between this process and other related processes within the operator's organization. It is important for the operator to identify and document where interactions between processes exist, and to have a method of managing change between these processes. Written policies, procedures, or instructions and information that are interrelated and located in different manuals within the operator's manual system must be consistent to allow personnel to perform their duties and responsibilities with a high degree of safety.

| *Tasks* | |
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| | The inspector shall accomplish the following task: |
| 1 | Review interfaces associated with the processes for this element. |

| *Questions* | | |
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| 4.1 | Does the operator identify and document the interfaces between processes?<br><br>Updated: Rev # 7 on 09/30/2013<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 4.2 | Does the operator have a method to evaluate the impact of changes in this process to other related processes that interface with this process?<br><br>Updated: Rev # 7 on 09/30/2013<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |

| SAI SECTION 4 - INTERFACES ATTRIBUTE |
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| **Drop-Down Menu** |

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| 1. | No interfaces specified. |
| 2. | The following interfaces not identified within the certificate holder's manual system: |
| 3. | Interfaces listed are inaccurate. |
| 4. | Specific location of interfaces not identified within the manual system. |
| 5. | Other |

## SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE

**Objective:**

Data from questions in this section will help determine if there is an identifiable, qualified (when required by CFR), and knowledgeable person who:

- Is responsible for the process;
- Is answerable for the quality of the process; and
- Has the authority to establish and modify the process.

| *Tasks* | |
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| | The inspector shall accomplish the following tasks: |
| 1 | Identify the person(s) who has overall responsibility for this element. |
| 2 | Identify the person(s) who has the authority to revise the procedures associated with this element. |
| 3 | Review the duties and responsibilities of the above person(s). |
| 4 | Review the appropriate organizational chart. |

| *Questions* | | |
|---|---|---|
| 5.1 | Is an individual(s) identified who is responsible for the quality of the procedures associated with this element?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 5.2 | Is an individual(s) identified who has the authority to establish and modify the policies, procedures, instructions, and information associated with this element?<br><br>Updated: Rev # 3 on 12/03/2009<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 5.3 | Are duties and responsibilities documented for those who manage the procedures associated with this element?<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.135(b)(2)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |
| 5.4 | Does the operator document the procedures for delegation of authority for this element?<br><br>Updated: Rev # 3 on 12/03/2009<br>SRRs: 121.135(a)(1)<br>Kind Of Question: Flag, Supplemental, Domestic | ☐ Yes<br>☐ No, Explain |

## SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE
### Drop-Down Menu

1.    Not documented.

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| 2. | Documentation unclear. |
| 3. | Documentation incomplete. |
| 4. | Other. |